



UNITED STATES PATENT AND TRADEMARK OFFICE  
(Case No. 00-1153-A)

PATENT

#2167

THE APPLICATION OF:

Brady, et al.

Serial No. 10/001,237

Filed: October 30, 2001

Title Network and Method for Trading  
Derivatives

Examiner:

Group Art Unit: 2167

RECEIVED

OCT 25 2002

GROUP 3600

Commissioner for Patents  
Washington, D.C. 20231

Sir:

TRANSMITTAL LETTER

RECEIVED

OCT 24 2002

Technology Center 2100

In regard to the above identified application:

1. We are transmitting herewith the attached:-

- a. Preliminary Amendment; and
- b. Return Receipt Postcard;

2. With respect to additional fees:

☒ Please charge Deposit Account No. 13-2490 in the amount of \$84.00 for 2 extra Independent Claims.

3. Please charge any additional fees or credit overpayment to Deposit Account No.13-2490. A duplicate copy of this sheet is enclosed.

4. CERTIFICATE OF MAILING UNDER 37 CFR § 1.8: The undersigned hereby certifies that this Transmittal Letter and the paper, as described in paragraph 1 hereinabove, are being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on this 4<sup>th</sup> day of October, 2002.

Respectfully submitted,

By:

Robert J. Irvine III  
Reg. No. 41,865



10/31/02  
PH  
5/A

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
(MBHB Case No. 00,1153-A)

In re Application of: )  
 )  
Brady et al. ) Group Art Unit: 2167  
 )  
Serial No.: 10/001,237 ) Examiner: Not Yet Assigned  
 )  
Filed: October 30, 2001 )  
 )  
For: Network and Method for Trading )  
Derivatives )

RECEIVED

OCT 25 2002

**PRELIMINARY AMENDMENT**

**GROUP 3600**

Assistant Commissioner for Patents  
Washington, D.C. 20231

This is a preliminary amendment of the above-identified application.

**AMENDMENTS**

In the specification:

Please replace the paragraph beginning on page 7, line 19, with the following paragraph:

A<sup>1</sup> A subscriber station (Sub 1, Sub 2, Sub 3 and Sub 4 of Fig. 1) has hardware and software to query indicative quotes, request binding quotes, and send orders to Exchanges. In one embodiment, the subscriber station consists of a Windows-based PC running an application that allows users to login, select symbols, and receive quotes for those symbols. Other embodiments include hand held computing devices that run the applications. Alternatively, the hand-held device acts as a wireless data terminal that communicates with the PC running the applications. As one of ordinary skill can appreciate, further alternatives hardware and software arrangements include hand-held devices and PC workstations, wherein the software functionality is appropriately divided between the two devices.

10/23/2002 SDENB0B1 00000125 132490 10001237  
01 FC:2201 84.00 CH

-1-